



PTO/SB/08a/b (08-03)
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Substitute for form 1449A/B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

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of

10

		Complete If Known	
Application Number	09/481,643		
Filing Date	January 12, 2000		
First Named Inventor	Lundy Lewis		
Art Unit	2176		
Examiner Name	Chau Nguyen		
Attorney Docket Number	APB-014CNRCE3		

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (# known)			
CN	RX001	3,036,290	05-22-1962	Zarouni, A.	
CN	RX002	4,622,545	11-11-1986	Atkinson, W.D.	
CN	RX003	5,107,497	04-21-1992	Lirov, Y.V., et al.	
CN	RX004	5,123,017	06-16-1992	Simpkins, L.G., et al.	
CN	RX005	5,125,091	06-23-1992	Staas, Jr., P.C., et al.	
CN	RX006	5,133,075	07-21-1992	Risch, T.J.M.	
CN	RX007	5,226,120	07-06-1993	Brown, B., et al.	
CN	RX008	5,321,837	06-14-1994	Daniel, A.A., et al.	
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Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
CN	RX011	Adler, R., et al. "Opera - An Expert Operations Analyst for a Distributed Computer System. /IEEE. 1998; 179-85.	
CN	RX012	Aguilar, L. "NCMA: A Management Architecture that Integrates Enterprise Network Assets, Integrated Network Management I." in Meandzija et al., eds., <u>Integrated Network Management</u> , I, IFIP 1989; 27-39.	
CN	RX013	Amsel, E. "Network Security and Access Controls." <u>Expert Systems Applications in Integrated Network Management</u> . Elsevier Science Publishers, Ltd. 1988, 346-58.	
CN	RX014	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Day 1: Transcript of Markman Hearing" October 28, 2004, pp.1-114.	
CN	RX015	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Day 2: Transcript of Markman" November 4, 2004, pp.1-103.	
CN	RX016	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Deposition of Leonard J. Forys" July 15, 2004, pp.1-311.	

Examiner Signature	<i>Chau Nguyen</i>	Date Considered	07/10/2005
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CN	RX017	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Videotaped Deposition of Mani Subramanian" July 22, 2004, pp.1-226.			T ²
CN	RX018	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Memorandum and Order" January 11, 2005, pp.1-33.			
CN	RX019	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Rule 26(a) Report of Mani Subramanian" June 4, 2004, pp.1-28 and Exhibits A-H.			
CN	RX020	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Declaration of Leonard J. Forys" January 11, 2005, pp.1-122 and Attachments 1-8.			
CN	RX021	Barker, L.K., et al. "Security Standards - Government and Commercial." AT&T. 1988; 327-36.			
CN	RX022	Bauer. "NIDX, An Expert System for Real Time Network Intrusion Detection." IEEE 1988; 372-380.			
CN	RX023	Ben-Artzi, A. "Architecture for a Multi-Vendor Network Management" in Meandzija et al., eds., <u>Integrated Network Mangement</u> , I, IFIP 1989; 445-53.			
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CN	RX029	Coates, J. "Artificial Intelligence: Observations on Applications and Control." <u>Expert Systems Applications in Integrated Network Management</u> . Computer Security Institute 1988 350-358.			
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CN	RX031	Day, C., et al. "Subnetwork Root Cause Alarm System Analysis - An Element Management Layer (EML) Operations Application." IEEE. 1994; 343-57.			
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CN	RX033	DeSalvo, D.A. "Knowledge Acquisition for Knowledge Based Systems." in Liebowitz, J., ed. <u>Expert System Applications to Telecommunications</u> Wiley, John and Sons, 1988, 267-303.			
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Examiner Signature	<i>Chau Nguyen</i>	Date Considered	07/21/2005
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CN	RX040	Finkel, A., et al. "An Alarm Correlation for the Heterogeneous Networks." <u>Network Management and Control</u> . 1994; 2:381-90.			
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CN	RX043	George, J.A., et al. "The NAS Hierarchical Network Management System, Integrated Management System III." in Hegering et al., eds., <u>Integrated Network Management III</u> , IFIP. 1993, 301-12.			
CN	RX044	Goldman, J., et al. "Integrated Fault Management in Interconnected Networks" in Meandzija et al., eds., <u>Integrated Network Management</u> , I, IFIP 1989; 333-44.			
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CN	RX048	Harter, G., et al. "An Accounting Service for Heterogeneous Distributed Environments." <u>IEEE</u> . 1988; 297-324.			
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CN	RX051	Heywood, P. "A Cool Mom Makes It Easy." <u>Data Communications</u> . 1995 Jan; 24(1):120-1.			
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CN	RX053	Hughes, D., et al. "Minerva: An Event Based Model for Extensible Network Management." <u>Proc Inet '93</u> 1-7.			
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CN	RX055	"Information Technology - Open Systems Interconnection - Systems Management: State Management Function." ISO/IEC 10164-2. 1993 Jun 15; 1-23.			
CN	RX056	"Information Technology - Open Systems Interconnection - Systems Management: Alarm Reporting Function." ISO/IEC 10164-4. 1992 Dec 15; 1-18.			

Examiner Signature	<i>Chau Nguyen</i>	Date Considered	07/26/2005
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Substitute for form 1449A/B/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

				<i>Complete If Known</i>
Application Number	09/481,643			
Filing Date	January 12, 2000			
First Named Inventor	Lundy Lewis			
Art Unit	2176			
Examiner Name	Chau Nguyen			
Sheet	4	of	10	Attorney Docket Number APB-014CNRCE3

NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
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CN	RX058	"Information Processing Systems - Open Systems Interconnection - Basic Reference Model - Part 4: Management Framework." ISO/IEC 7498-4. 1989 Nov 15; 1-9.	
CN	RX059	Jander, M. "Rounding Out the Roster of SNMP Agents. <i>Data Communications</i> . 1995 Jan 1; 24(1):119-21.	
CN	RX060	Jankauskas, L., et al. "Technical Control of the Digital Transmissions Facilities of the Defense Communications System." <i>IEEE Transactions of Communications</i> . 1980 Sep; COM28(9): 1516-23.	
CN	RX061	Jordaan, J., et al. "Event Correlation in Heterogeneous Networks Using the OSI Management Framework." in Hegering et al., eds., <u>Integrated Network Management III</u> , IFIP. 1993; 683-95.	
CN	RX062	Karp, B.C., et al. "The Secure Data Network System." AT&T. 1988; 337-45.	
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CN	RX065	Kershenbaum, A., et al., eds. <u>Network Management and Control</u> Plenum Publishing Corp. 1990; 1-448.	
CN	RX066	Klemba, K.S. "Openview's Architectural Models" in Meandzija et al., eds., <u>Integrated Network Management</u> , I, IFIP 1989; 565-72.	
CN	RX067	Klerer, S. "The OSI Management Architecture: An Overview." IEEE. 1988 Mar; 76-84.	
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CN	RX071	Krishnan, I. et al., eds. <u>Integrated Network Management II</u> IFIP 19913-857.	
CN	RX072	Laffey, T.J., et al. "Real-Time Knowledge Based Systems." AAAI. 1988; 132-50.	
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CN	RX074	Leinwand, A., et al. <u>Network Management: A Practical Perspective</u> Addison-Wesley 1993 1-222.	
CN	RX075	Lewis, L. "A Case-Based Reasoning Approach to the Resolution of Faults in Communications Networks." in Hegering et al., eds., <u>Integrated Network Management III</u> , IFIP. 1993; 671-82.	
CN	RX076	Lewis, L. "AI and Intelligent Networks in the 1990's Into the 21 st Century." in <u>Worldwide Intelligent Systems</u> , Liebeowitz, J. et al., eds. 1995 Sep; 109-224.	

Examiner Signature	<i>Chau Nguyen</i>	Date Considered	08/02/05
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CN	RX080	Lusher, E. "An Expert System for Logistics Management." <i>AI Expert</i> 1988 31(9):46-53.			
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CN	RX082	Marques, T.E. "A Sympton-Driven Expert System for Isolating and Correcting Network Faults." <i>IEEE</i> . 1988; 251-8.			
CN	RX083	Mazumdar, S., et al. "Knowledge-Based Monitoring of Integrated Networks" IFIP. 1989; 235-43.			
CN	RX084	Mathonet, R., et al. "DANTES: An Expert System for Real Time Networking Troubleshooting." 1987; 259-62.			
CN	RX085	Mazumdar, S. "Knowledge-Based Monitoring of Integrated Networks for Performance Management." Columbia University 1990; 1-228.			
CN	RX086	Meandzija et al., eds., <u>Integrated Network Mangement</u> , I, IFIP 1989; 3-666.			
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CN	RX089	Micromuse. "The Netcool/LegacyWatch Architecture." <i>Micromuse</i> . 1-2.			
CN	RX090	Moffett, J.D. "Chapter 17 - Specification of Management Policies and Discretionary Access Control." in Sloman, M., ed. <u>Network and distributed systems management</u> Addison-Wesley 1994 455-80.			
CN	RX091	Moffett, J.D. "Policy Hierarchies for Distributed Systems Management." <i>IEEE JSAC Special Issue on Network Management</i> . 1993 Dec; 11(9):1-22.			
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CN	RX093	Murnill, B. "OMNIpoint: An Implementation Guide to Integrated Networked Information Systems Management" in Meandzija et al., eds., <u>Integrated Network Mangement</u> , I, IFIP 1989; 405-18.			
CN	RX094	Noren, C., et al. "Interfacing an Expert Shell to On-line Applications for Communications Equipment Configuration Management." Noren & Ericson 1989; 182-91.			
CN	RX095	Oates, T. "Fault Identification in Computer Networks: A Review and a New Approach." Technical Report 95-113, University of Massachusetts at Amherst, Computer Science Department, 1995.			
CN	RX096	Olsen, L., et al. "Understanding Network Management with OOA." <i>IEEE Network Magazine</i> . 1990; 23-8.			

Examiner Signature	Oscanyuyen	Date Considered	02/28/2005
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CN	RX097	Partridge, C., et al. "HMES Variable Definitions." <i>Network Working Group RFC 1024</i> . 1987 Oct; retrieved from the internet at http://www.faqs.org/rfcs/rfc1024.html 1-74.			T ²
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CN	RX099	Rabie, S., et al. "DAD: A Real-Time Expert System for Monitoring of Data Packet Networks." <i>IEEE</i> . 1988; 164-169.			
CN	RX100	"Requirements for Internet Hosts - Application and Support." <i>Network Working Group RFC 1123</i> , 1989 Oct, retrieved from the internet at http://www.ietf.org/rfc/rfc1123.txt . 1-87			
CN	RX101	Roos, J., et al. "Modelling Management Policy Using Enriched Managed Objects." in Hegering et al., eds., <i>Integrated Network Management III</i> , IFIP.207-15.			
CN	RX102	Rose, D., et al. "SNA Network Management Directions." <i>IBM Systems Journal</i> . 1988; 27(1): 3-14.			
CN	RX103	Rose, M. "Network Working Group, Request for Comments 1155, Performance Systems International and Hughs LAN Systems, Structure and Identification of Management Information for TCP/IP-Based Internets." 1990 May; retrieved from the internet at http://www.faqs.org/rfcs/rfc1155.html 1-22.			
CN	RX104	Rose M. "Network Working Group, Request for Comments 1158 Management Information Base for Network Management of TCP/IP-based Internets: MIB II." 1990 May; retrieved from the internet at http://www.faqs.org/rfcs/rfc1158.html 1-133.			
CN	RX105	Schaerth, J.P. "A Concept for Tactical Wide-Area Network HUB Management." <i>IEEE</i> . 1994 644-9.			
CN	RX106	Schaller, H.N. "A Concept for Hierarchical, Decentralized Management of Physical Configuration in the Internet." <i>KiVS '95 Chemnitz</i> . 1995 Feb 20-24; 1-14.			
CN	RX107	Schönwalder, J., et al. "How to Keep Track of Your Network Configuration." <i>1993 LISA</i> . 1993 Nov 1-5; 101-6.			
CN	RX108	Sidou, D. "Behavior Simulation and Analysis Techniques for Management Action Policies (or Hints Towards the Integration of Management Action Policies within TIMS)." Karlsruhe, September 20-21 1995 1-17.			
CN	RX109	Siegl, M.R., et al. "Hierarchical Network Management. A Concept and Its Prototype in SNMPv2." <i>Proceedings JENC6</i> 1995 122-1-10.			
CN	RX110	Skoog, R., et al. "Network Management and Control Mechanisms to Prevent Maliciously Induced Network Instability." retrieved from the internet at http://www.ee.umd.edu/~shayman/papers.d/noms_2002.pdf 1-13.			
CN	RX111	Sloman, M. "Chapter 16: Domains: A Framework for Structuring Management Policy." in <i>Network and Distributed Systems Management</i> . Addison-Wesley Publishing Company 1994; 433-53.			
CN	RX112	Sloman, M., et al. "Domain Management for Distributed Systems" <i>IFIP</i> . 1989; 505-16.			
CN	RX113	Sloman, M. "Chapter 16: Domains: A Framework for Structuring Management Policy." in <i>Network and Distributed Systems Management</i> . Addison-Wesley Publishing Company 1994; 433-53.			

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CN	RX114	Sloman, M. "Policy Driven Management for Distributed Systems." <i>Journal of Network and Systems Management</i> . 1994; 2(4):1-22.			
CN	RX115	Sloman, M. <i>Network and Distributed Systems Management</i> . Addison-Wesley Publishing Company. 1994. i-xx, 1-666			
CN	RX116	Cabletron systems "Spectrum: Spectrophone User's Guide" Cabletron Systems 1997 i-xii, 1-1-A22			
CN	RX117	Stamatelopoulos, F. et al. "A scaleable, platform-based architecture for multiple domain network management." 1995 June, retrieved from the internet at http://www.netmode.ntua.gr/papers/papers/manmib.pdf 9 pages.			
CN	RX118	Stamatelopoulos, F. et al. "Using a DBMS for Hierarchical Network Management." accepted for presentation at the Engineer Conference NETWORLD+INTEROP '95, March 1995, retrieved from the internet at http://www.cs.umd.edu/~nick/papers/2_fotis.pdf 10 pages.			
CN	RX119	Stevenson, D. "Network Management: What It Is and What It Isn't." <i>NMS: Network Management Whitepaper</i> . 1995; 1-26.			
CN	RX120	Strutt, C. "Distribution is an Enterprise Management Director, Integrated Network Management III." in Hegering et al., eds., <i>Integrated Network Management III</i> , IFIP. 1993; 223-45.			
CN	RX121	Summers, R. et al. "Potential Applications of Knowledge-based Methods to Computer Security." 1988 Dec. <i>Computers and Security</i> 7(6):359-71			
CN	RX122	Sutter, M.T., et al. "Designing Expert Systems for Real Time Diagnosis of Self-Correcting Networks." <i>IEEE Network Magazine</i> . 1988; 109-17.			
CN	RX123	Suzuki, M., et al. "Developments of Integrated Management System NETM Based on OSI Standards" in Krishnan, I. et al., eds. <i>Integrated Network Management II</i> IFIP 1991; 189-99.			
CN	RX124	Sylor, M. "Guidelines for Structuring Manageable Entities, Integrated Management Network I." in Meandzija et al., eds., <i>Integrated Network Management</i> , I, IFIP 1989; 169-83.			
CN	RX125	Terplan, K. <i>Communications and Network Management</i> . Prentice Hall 1990; i-xviii, 1-702.			
CN	RX126	Tjaden, G., et al. "Integrated Network Management for Real-Time Operations." <i>IEEE Network Magazine</i> . 1991 Mar; 10-5..			
CN	RX127	Vassila, A., et al. "Introducing Active Managed Objects for Effective and Autonomous Distributed Management." University College London 1995 Aug 15 pages.			
CN	RX128	Wang, Z. "Model of Network Faults." in Meandzija et al., eds., <i>Integrated Network Management</i> , I, IFIP 1989; 345-52.			
CN	RX129	Warier, U., et al. "The Common Management Information Services and Protocol Over TCP/IP (CMOT)." <i>Network Management Group RFC 1095</i> . 1989 Apr; 1-67.			
CN	RX130	Warier, U., et al. "A Platform for Heterogeneous Interconnections Network Management" in Meandzija et al., eds., <i>Integrated Network Management</i> , I, IFIP 1989; 13-24.			
CN	RX131	Wies, R. "Policies in Network and Systems Management - Formal Definition and Architecture." <i>Journal of Network and Systems Management</i> . 1994; 3(1):63-83.			

Examiner Signature	<i>Chau Nguyen</i>	Date Considered	07/27/2005
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Substitute for form 1449A/B/PTO				Complete If Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Application Number	09/481,643
Sheet	8	of	10	Filing Date	January 12, 2000
				First Named Inventor	Lundy Lewis
				Art Unit	2176
				Examiner Name	Chau Nguyen
				Attorney Docket Number	APB-014CNRCE3

NON PATENT LITERATURE DOCUMENTS					
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			
CN	RX132	Wies, R. "Using a Classification of Management Policies for Policy Specification and Policy Transformation." <i>IFIP/IEEE International Symposium on Integrated Network Management</i> . 1995 May 1-5; 1-14.			
CN	RX133	Zadeh, L.A. "Outline of a New Approach to the Analysis of Complex Systems and Decision Processes." <i>IEEE Transactions on Systems, Man, and Cybernetics</i> . 1973 Jan; SMC-3(1): 28-44.			
CN	RX134	Znaty, S., et al. "Network Management Viewpoints: A New Way of Encompassing the Network Management Complexity." NTT Telecommunications Network Laboratories 1994 Feb. 18 pages.			
CN	RX135	Aguilar, L. "Using RPC for Distributed Systems Management in Krishnan, I. et al., eds. <i>Integrated Network Management II</i> IFIP 1991; 565-76.			
CN	RX136	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Defendant Micromuse Inc.'s 3 rd Supplemental Answers to Plaintiff's First Set of Interrogatories" May 6, 2004, pp.1-50.			
CN	RX137	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Second Amended Answer to Complaint for Patent Infringement and Counterclaim" May 6, 2004, pp.1-14.			

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CN	RX138	Cabletron's Spectrum Advanced Management System 3.0. "Network Management and Security, Real Distributed Management." Data Communications. 1995 Jan; 116-8.			
CN	RX139	Callahan, P.H. "Expert Systems for AT&T Switched Network Maintenance." AT&T. 1988; 263-73.			
CN	RX140	Herman, P., et al. "A Question-Answering for the French Yellow Pages."			
CN	RX141	Kalantari, M., et al. "Network Management and Control Mechanisms to Prevent Maliciously Induced Network Instability."			
CN	RX142	Pagurk, B., et al. "Knowledge Based Fault Location in Data Communication Network. IEEE Networks. 1988; 235-44.			
CN	RX143	Rosenberg. "Are Users Up in the Air Over Network Management." Network Management and Maintenance. 119.			
CN	RX144	"The OSI Management Architecture: An Overview."			
CN	RX145	ANSI X3.135-1992, Revision and Consolidation of ANSI X3.135-1989 and ANSI X3.168-1989, American National Standard for Information Systems—Database Language—SQL. New York, New York: American National Standards Institute, October 16, 1992.			
CN	RX146	Case, J., et al. "A Simple Network Management Protocol (SNMP)." Network Working Group. 1990 May; 1-36.			
CN	RX147	Frish, I., et al. Network Management and Control, Volume 2. Plenum Press, 1993. i-x, 1-514			
CN	RX148	Mazumdar, S. "Objective-Driven Monitoring." in Krishnan, I. et al., eds. <u>Integrated Network Management II</u> IFIP 1991; 653-857.			
CN	RX149	McCloghrie, K., et al. "Management Information Base for Network Management of TCP/IP-based Internets." Network Working Group. 1988 Aug; 1-90.			
CN	RX150	"Network Management Operations." IEEE Network Magazine. 1991; 5(2).			
	RX151	Terplan, K. <u>Communication Networks Management</u> , 2d. Edition, Prentice Hall 1992 i-xviii, 1-702.			

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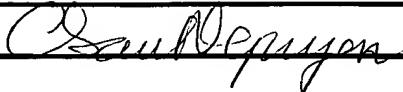
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CN	RX152	ISO/IEC 7498-4 International Standard, <i>Information Processing Systems – Open Systems Interconnection – Basic Reference Model – Part 4: Management Framework</i> . Geneva: International Organization for Standardization, 1 st Ed., November 15, 1989.			T ²
CN	RX153	"Network Management Protocols." <i>IEEE Network Magazine</i> . 1988; 2(2).			
CV	RX154	<i>Planning and Reference for NetView, Network Control Program, Virtual Telecommunications Access Method</i> . Document Number SC31-6102-01, IBM Corp., 1992.			

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CN	RX153	<i>"Network Management Protocols."</i> IEEE Network Magazine. 1988; 2(2):1-66.			
CN	RX154	<i>Planning and Reference for NetView, Network Control Program, Virtual Telecommunications Access Method.</i> Document Number SC31-6102-01, IBM Corp., 1992; xx, 1-329.			

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